WAIVER/EXCEPTION REQUEST
PROCESS NO. 3

■ **Description**

The purpose of this process is to examine requests for waivers/exceptions to the IT enterprise architecture to determine the impact on existing standards, implications for other systems, total costs/benefits to the agency and/or State, and any risks associated with the request. The Architecture Oversight Committee will approve or reject the request for this one-time waiver/exception.

■ **Goal**

Determine the implications and ramifications of a request for a waiver/exception to the IT enterprise architecture, and issue a one-time waiver or exception only if there are sound business reasons for such.

■ **Requests to be Reviewed by the Architecture Oversight Committee**

The Architecture Oversight Committee will review all requests for waivers/exceptions to the IT enterprise architecture.

■ **Triggers**

Lack of architectural alignment with the State IT enterprise architecture due to:

➢ Federal/State Mandates
➢ New Technology Products/Applications
➢ Special Agency Requirements
➢ Grant requirements
➢ Technology Projects

■ **Sources of Input to Architecture Oversight Committee**

➢ State Technology Architect
➢ Agency Representatives
➢ Domain Subcommittees

■ **How Request Submitted**

Requests are submitted to the CIO Staff using ITEA Form #2 and must include at least the following information:

➢ Basic Information
➢ Description of Standard to be Waived/Exempted

- ➢ Impact on Other Domains
- ➢ Business Justification for Waiver/Exemption
- ➢ Financial Impact
- ➢ Additional Background Information
- ➢ Priority/Date Required

■ **Roles and Responsibilities**

➢ CIO Support Staff

- – Preliminary review of request for completeness
- – Obtain information from Gartner, Meta and other research organizations as appropriate
- – Submit information to the appropriate Domain Subcommittee and obtain additional information, as appropriate
- – Organize information packets for review by Architecture Oversight Committee to include:
  - – Request
  - – Comparison with State technology baseline
  - – Research
  - – Estimated impact on infrastructure and state resources
  - – Financial Impact
- – Develop and post agenda for Architecture Oversight Committee meetings
- – Document outcome of the wavier/exception process and establish an architecture review schedule, if appropriate
- – Notify appropriate parties, including originator of the request, of the recommendations of the Domain Subcommittee and the outcome of the waiver/exception process
- – Maintain IT Architecture Web Site to provide a status of requests throughout the technical compliance assessment process

➢ Domain Subcommittee - Primary

- – Determine scope of request and assess impact of introducing a non-standard technology on existing applications, infrastructure, and resources (financial and human)
- – Evaluate request using Architecture Scorecard
- – Evaluate request against Architecture Roadmap
- – Document recommendations and submit to the Architecture Oversight Committee
- – Present recommendations and dissenting opinions to the Architecture Oversight Committee

➢ Domain Subcommittee(s) - Secondary

- – Determine scope of request and ensure integration/compatibility across domains
- – Provide input to primary Domain Subcommittee

➢ State Agency/Requestor

- – In instances where the Domain Subcommittee is recommending to the Architecture Oversight Committee that a request from an agency be denied, the agency shall be allowed the opportunity to make a short presentation (maximum of ten (10) minutes) at the Architecture Oversight Committee meeting to explain the need for the waiver/exemption and to answer questions.

➢ Architecture Oversight Committee

- – Render technical compliance decision (approve/reject)
- – Request clarification or additional information from the primary Domain Subcommittee

■ **Tools**

➢ ITEA Form #2

■ **Approval Parameters**

➢ Sixty Seventy (67%) percent of Architecture Oversight Committee must be present to request a vote to approve/reject a request (quorum).
➢ When a quorum is present, fifty-one (51%) of the members of the Architecture Oversight Committee in attendance must be in agreement to approve/reject a request.
➢ Members of the Architecture Oversight Committee, or their designated alternate, must be present to vote - absentee voting and stand-ins are not allowed.

■ **Timeframe for Conducting Assessment of Waiver/Exception Requests**

➢ Upon receipt of a request, the CIO Support Staff will have four (4) business days to conduct initial research and provide information to the primary Domain Subcommittee.
➢ Upon completion of work by primary Domain Subcommittee, the CIO Support Staff will develop information packets and forward to members of Architecture Oversight Committee at least seven (7) business days in advance of the Architecture Oversight Committee meeting.
➢ The CIO Support Staff will post agenda (and supporting documentation) to IT Architecture Web Site at least seven (7) days in advance of the Architecture Oversight Committee meeting.

➢ Review of requests, domain subcommittee recommendations, presentations, discussions, etc. will be limited to one (1) hour unless additional time is approved in advance by the Architecture Oversight Committee.
➢ The Architecture Oversight Committee will meet on a monthly basis.

Request for Waiver/Exception Process

TRIGGERS
- Federal/State Mandate
- Grant Requirement
- Technology Projects
- Special Agency Requirement
- New Products/ Applications

REQUEST SUBMISSIONS
- State Architect
- Agency Representative
- Domain Sub- committee

Request for Waiver/ Exception (ITEA2)

CIO Architecture Group Support
- Preliminary Review of Request and Identifier Assigned
- Conduct Research
- Consider SC Baseline and Gather Research

Compliant with Architecture or Agency Specific? — Yes — CIO IT Planning Completes Process

No (4 Days)

Domain Sub-committee
- Review Scope and Reasons for Request
- Determine Impact
- Coordinate with Other Domain Sub-committees

Evaluation Completed? — Yes —

Need More Information

A

CIO Architecture Group Support
- Organize Information Packet
- Finalize Agenda and Post for Comments
- Notify Requestor

7 Days In Advance

Unless Simple or Expedited Request

B

Clarification

Oversight Committee
- Presentation By Domain Sub-committee
- General Discussion

Quorum = 67%
51% Yes to Approve/Reject

Must be Present to Vote

Consensus — Yes —

Rejected

Document and Publish Results

END OF PROCESS

CIO Architecture Group Support
- Document and Publish Results
- Re-evaluate Technical Architecture

Results To —

CIO IT Planning

IT Procurement (If Needed)

NOTES:
Days = Business Days
Ø = Electronic Tracking of Request on CIO Web Site

Revised May 6, 2003